

APA Corrective Action Plan Status Report as/of March 2007

Audit of Commonwealth IT Governance and VITA Operations as of 4/7/06

18 of the 21 planned corrective actions are complete while one is green and two are given "yellow" status. The current statuses for the 21 corrective actions are as follows:

- ❖ **Green** - 19 objectives (or 90.5%)
- ❖ **Yellow** - 2 objectives (or 9.5%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete
2. Continue to Support COV's Roadmap	07/06	Green	• Complete
3. ITIB & CIO Execute an IT Strategic Communications Plan	07/06	Green	• Complete
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	• Complete
5. Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	07/06	Green	• Complete
6. Change IT Project Submission Deadline	06/07	Green	• Complete
7. Include Life Cost of Projects	09/07	Green	• Complete
8. Simplify RTIP Project Listing	01/07	Green	• Complete
9. RTIP Enhancement	02/07	Green	• Complete
10. Identify Alternative IT Project Funding	07/06	Green	• Complete
11. Hire PMD Staff	01/07 10/07	Yellow	• CIO approved hiring of additional PMD staff is underway in order to complete tasks 2 and 4. Applicant pool is not strong, with 1 of 3 vacancies tentatively filled. Anticipated PMD Phase 2 reorganization completion date is now October 2007. (J. Simonoff)
12. Fix Ops. & Gov. Roles Conflicts	09/06	Green	• Complete
13. Improve PMD Effectiveness & Efficiency	01/07 10/07	Yellow	• CIO approved hiring of additional PMD staff is underway in order to complete Phase 2 reorganization. Applicant pool is not strong, with 1 of 3 vacancies tentatively filled. Anticipated Phase 2 completion is now October 2007. (J. Simonoff)

VITA Objective	Due Date	Status	Comments
14. Improve PMD Oversight Policies and Procedures	02/07	Green	• Complete
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• Complete
16. Implement Security Operating Plan	10/06	Green	• Complete
17. Develop Timeline for Security Standards	10/06	Green	• Complete
18. Adopt Uniform Infrastructure Procedure	06/08	Green	• Running one month behind schedule on developing procedures. Priority is on security procedures. Project the procedures manual being back on schedule in August 07. Phase 1 ITIL project (Change, Configuration, Release) scheduled to deploy to IT Infrastructure staff from April to June. Agency personnel deployments start in July. (F. Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	01/07	Green	• Complete
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Complete
21. Revise & Require SOW Template to Document Specific Deliverables	08/06	Green	• Complete

A Review of Information Security in the Commonwealth of Virginia, Issued 12/06

The current statuses for the 2 corrective actions are as follows:

- ❖ **Green** - 2 objectives (or 100%)
- ❖ **Yellow** - 0 objectives (or 0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Develop Inf. Security Comm. Plan, assist agencies w/IS program & provide assurance IT security controls.	03/07	Green	<ul style="list-style-type: none">• Plan developed and communicated during ISOAG meeting in March.<ul style="list-style-type: none">- Evaluate key areas for focus as identified by SJR51 report- Publish Standards & Guidelines- Promote Infrastructure configuration standards- Provide information assurance to customer agencies- Information Security Council formed ISO Orientation meetings• Actions Complete. (P. Ward)
3. Supplement SEC 501	02/07 04/07	Green	<ul style="list-style-type: none">• Review of additional processes is progressing to complete a plan by 4/07. (P. Ward)

Internal Audit Services Corrective Action Plan Status Report as/of March 2007

Federal Tax Information Safeguards (Tax) & Network Perimeter (NP) Reports

The current statuses for the 6 corrective actions are as follows:

- ❖ **Green** - 2 objectives (or 33.3%)
- ❖ **Yellow** - 4 objectives (or 66.7%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
Tax – 1. Update the 1999 TAX/DIT Federal Tax Tape Safeguards MOA	11/06 02/07	Green	<ul style="list-style-type: none"> Approved 1/07. Actions Complete. (D. Secor)
Tax – 2. Require & Retain Signed Disclosure Statements	12/06 05/07	Yellow	<ul style="list-style-type: none"> Training has been completed and forms have been signed for this year for Unix Systems, Oracle Database and Operations. TAX has been <u>repeatedly</u> asked to send a soft copy of the MOU so that the new forms can be implemented and groups of employees eliminated from the requirement per a meeting that was held on October 13, 2006. (J. Roberts)
NP – 1. Enable Router and Firewall Logging	12/06 06/07	Yellow	<ul style="list-style-type: none"> Over 94% of in-scope agencies responded to a survey asking for information on Firewall Logging. Of those responding, 33 agencies, 45.2%, had Firewall logging available and in use. All large agencies are logging at their firewall. (F. Duball)
NP – 2. Install IDS on Network Perimeters	02/07 05/07	Yellow	<ul style="list-style-type: none"> Over 94% of in-scope agencies responded to a survey asking for information on IDS. Of those responding, 23 agencies, 31.5%, had IDS available. Those 23 agencies will be contacted to verify usage by 5/07. The remaining agencies will be referred to transformation order, see above. (F. Duball)
NP – 3. Provide a Consistent Tool for Monitoring Internet Use	02/07 05/07	Yellow	<ul style="list-style-type: none"> Over 94% of in-scope agencies responded to a survey asking for information on Content Monitoring. Of those responding, 31 agencies, 42.5%, had COTS Content Monitoring software available. Those 31 agencies will be contacted to verify usage by 5/07. The remaining agencies will be referred to transformation order, see above. (F. Duball)
NP – 4. Revise VITA Central Network Perimeter Policies to Include All VITA	05/07	Green	<ul style="list-style-type: none"> Internal review of VITA policies is complete. Developing a plan to write or revise policies as needed. (P. Ward)

Semiannual Report of Internal Control of Weaknesses Identified, Issued 1/07

Initial plan report and 3/07 status. The current statuses for the 5 corrective actions are as follows:

- ❖ **Green** - 3 objectives (or 60%)
- ❖ **Yellow** - 2 objectives (or 40%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1a. Enhance Electronic Notification Procedures for Payroll Changes – Establish a Documented Procedure	01/07 4/07	Yellow	<ul style="list-style-type: none"> Payroll Transaction Log is continuously updated and backed up on a shared drive in addition to electronic notification to payroll via e-mail. Written procedures are under review and will be posted in April, 2007. (J. Roberts)
1b. Enhance Electronic Notification Procedures for Payroll Changes – Expand SEPARATIONS Email Distribution List	01/07	Green	<ul style="list-style-type: none"> Distribution list was reviewed and updated to include payroll as of February, 2007. Actions Complete. (J. Roberts)
2. Enhance Separation Procedure & Awareness	01/07 04/07	Yellow	<ul style="list-style-type: none"> Separation Policy and procedure changes have been made and submitted for internal review along with a revised separation checklist in March, 2007. Final posting of the policy and procedure is anticipated in April, 2007. (J. Roberts)
3. Require that Sensitive Information be Saved to Network Drives	04/07	Green	<ul style="list-style-type: none"> Completed review of all internal VITA policies. This requirement will be included in new or revised policy. (P. Ward)
4. Add the <i>Outside Employment Policy</i> to the M.O.A.T Policy Vault	01/07	Green	<ul style="list-style-type: none"> The Outside Employment Policy has been added and scheduled for annual employee notifications starting in the summer of 2007. Actions Complete. (J. Roberts)

Semiannual Report of Internal Control of Weaknesses Identified, Issued 3/07

Initial plan report and 3/07 status. The current status for the 1 corrective action is as follows:

- ❖ **Green** - 1 objective (or 100%)
- ❖ **Yellow** - 0 objectives (or 0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Enhance Controls Over Surplus Removal	03/07	Green	<ul style="list-style-type: none">A draft Surplus Property Procedure was provided to Audit on 3/08 and was finalized on 3/23. The Procedure enhances the controls over surplus property as per Audit's recommendations. Audit Director observed surplus property removal on 3/10 and verified that the controls included in the finalized Surplus Property Procedure have been implemented. The finalized Procedure was provided to all VITA/NG Facilities Staff on 3/23. Actions Complete. (Jim Roberts)